

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): M. KATO et al  
Serial No.: Not Yet Assigned  
(New Continuation Application under 37 CFR §1.53(b) of  
U.S. Application Serial No. 10/351,524)  
Filed: On Even Date Herewith  
For: NONVOLATILE SEMICONDUCTOR MEMORY  
Group: 2824  
Examiner: V. LE

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.97 & §1.98**

**MS: Patent Applications**  
Commissioner for Patents  
POB 1450  
Alexandria, VA 22313-1450

March 30, 2004

Sir:

In the matter of the above-identified application, applicants are attaching hereto, in a form equivalent to Form PTO-1449, a listing of all the art documents of record (cited by the Examiner/submitted by applicants) in the chain of continuing applications (as listed on page 1 of the Specification), pursuant to the duty of disclosure/candor requirements.

This Information Disclosure Statement is being submitted concurrently with the filing of the above-identified continuation application and, therefore, this IDS meets the requirements pursuant to 37 CFR §1.97(b).

As to the requirement of 37 CFR §1.98(a)(3) for any concise explanation of relevance to the extent that any of the listed documents is not in the English language, this is met by: the discussion thereof in the prosecution history, the submission of any English language abstracts/translations, and the citation by the Examiner in the prior

application(s).

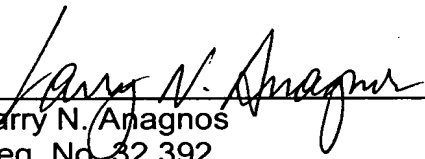
In keeping with the duty of disclosure/candor requirements, applicants would also like to bring to the Examiner's attention two (2) additional continuation branches having as an original basis, under 35 USC §120, the same basic application as that of the above-identified newly-filed continuation application. The separate branches include (i) U.S. Application Serial No. 09/362,719, filed July 29, 1999, now U.S. Patent 6, 201,735, which was filed as a continuation of U.S. Application Serial No. 09/288,313, filed April 8, 1999, now U.S. Patent 6,101,123; and (ii) U.S. Application Serial No.09/984,918, filed October 31, 2001, now U.S. Patent 6,510,086, which was a continuation of U.S. Application Serial No. 09/881,020, filed June 15, 2001, now U.S. Patent 6,335,880, which was filed as a continuation of U.S. Application Serial No. 09/630,426, filed August 1, 2000, now U.S. Patent 6,272,042. Both prior U.S. Application Serial 09/630,426 (now USP 6,272,042) and Serial No. 09/288,313 (now USP 6,101,123) are included in the series of continuing applications corresponding to the above-identified new continuation application, as listed on page 1 of the present Specification. Copies of the above-mentioned related U.S. patents, i.e., USP 6,335,880 and USP 6,510,086, were submitted in the prior, parent application Serial No. 10,351,524. It is noted that the listing of art documents in this IDS submission is inclusive of all art documents of record not only in the corresponding series of continuing applications but, also, with regard to the above-mentioned two additional separate continuation branchings.

It is understood that since copies of the listed documents should be available in the file wrapper of the prior application, copies thereof are not included herewith, consistent with 37 CFR §1.98(d) and pursuant to the guidelines set forth in MPEP §609.

It is submitted this IDS is in compliance with the rules of practice as well as with USPTO guidelines. Therefore, applicants respectfully request that it be entered and duly considered by the USPTO. Also, acknowledgment of entry as well as of formal consideration thereof by the Examiner is respectfully requested.

If any costs are due in accordance with the filing of this Information Disclosure Statement, please charge same to the account of Antonelli, Terry, Stout & Kraus, LLP, Account No. 01-21 35 (500.32256C11).

Respectfully submitted,  
**ANTONELLI, TERRY, STOUT & KRAUS, LLP**

  
\_\_\_\_\_  
Larry N. Anagnos  
Reg. No. 32,392

LNA/dks  
(703) 312-6600

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>			<b>Complete If Known</b>	
			Application Number	R53(b) CONT. of 10/351,524
			Filing Date	March 30, 2004
			First Named Inventor	Masataka KATO
			Art Unit	2824
Sheet 1 of 2	Examiner Name	V. LE	Attorney Docket Number	500.32256C12

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
		US- 4,924,437		05/08/1990	Paterson et al	
		US- 4,953,129		08/28/1990	Kobayashi et al	
		US- 5,053,848		10/01/1991	van der Elshout et al	
		US- 5,060,195		10/22/1991	Gill et al	
		US- 5,168,335		12/01/1992	D'Arrigo et al	
		US- 5,222,040		06/22/1993	Challa	
		US- 5,249,158		09/28/1993	Kynett et al	
		US- 5,280,454		01/18/1994	Tanaka et al	
		US- 5,297,103		03/22/1994	Higuchi	
		US- 5,347,490		09/13/1994	Terada et al	
		US- 5,363,330		11/08/1994	Kobayashi et al	
		US- 5,392,253		02/21/1995	Atsumi et al	
		US- 5,398,459		03/07/1995	Arakawa	
		US- 5,530,828		06/25/1996	Kaki et al	
		US- 5,663,901		09/21/1997	Wallace et al	
		US- 5,828,600		10/27/1998	Kato et al	
		US- 6,201,735		03/13/2001	Kato et al	
		US- 6,335,880		01/01/2002	Kato et al	
		US- 6,510,086		01/21/2003	Kato et al	
		US-4,920,518		04/1990	Nakamura et al	

FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		JP 62-276878	12/1987			
		JP 04-014871	01/1992			
		JP 03-219496	09/1991			
		JP 01-229497	09/1989			
		JP 04-007870	01-13-1992	H. Koizumi et al		AB
		JP 02-260455	10-23-1990	W. Lee et al		AB
		JP 61-127179	06-14-1986	T. Chang et al		AB
		JP 03-250495	11-08-1991	M. Asano		AB
		JP 03-066171	03-20-1991	K. Komori et al		AB
		JP 02-040199	02-08-1990	K. Kobayshi et al		AB
		JP 62-298096	12-25-1987	S. Nabeya et al		AB

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard St.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
		<b>Application Number</b>	<b>R53(b) CONT. of S.N. 10/351,524</b>
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Filing Date</b>	<b>March 30, 2004</b>
		<b>First Named Inventor</b>	<b>Masataka KATO et al</b>
		<b>Group Art Unit</b>	<b>2824</b>
		<b>Examiner Name</b>	<b>V. LE</b>
<b>Sheet</b>	<b>2</b>	<b>of</b>	<b>2</b>
		<b>Attorney Docket Number</b>	<b>500.32256C 12</b>

<b>OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		IEEE Journal of Solid State Circuits, Vol. 26, No. 4, April 1999, pp. 484-491.	
		IEEE Journal of Solid State Circuits, Vol. SC-17, No. 5, Oct. 1982, pp. 821-827.	
		KUME et al, H., "A 1.28 $\mu\text{m}^2$ Contactless Memory Cell Technology for a 3-V Only 64 Mbit EEPROM", International Electron Devices Meeting, 1992, Technical Digest, pp. 24.7.1-24.7.3.	
		Nakayama et al, T., "A 60ns 16Mb Flash EEPROM with Program and Erase Sequence Controller", 1991 IEEE ISSCC, pp. 260-261.	

<b>Examiner Signature</b>		<b>Date Considered</b>	
-------------------------------	--	----------------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.